



Wichita Area Metropolitan Planning Organization

Draft Transportation Improvement Program Policy

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SECTION 1.0

INTRODUCTION

The Wichita region's growing pattern of development and travel demand requires a continuous program of managing and improving the area's surface transportation system. The transportation system plays a central role in the lives of the citizens of the region as they go about their daily business and activities. If the metropolitan area is to enjoy an enhanced quality of life and maintain a competitive position both regionally and nationally, a transportation improvement program is necessary to assure that the transportation system is positioned to make a positive contribution.

The *Transportation Improvement Program (TIP)* presents a program of improvements to the surface transportation system within the Wichita planning area to be implemented for the short-range with federal matching funds. The projects, through a combination of federal, state, and/or local funding sources cover a wide range of transportation modes. This includes streets and highways, public transportation, and bicycle and pedestrian facilities. Planned improvements include new construction; expansion of existing services, and facilities; Intelligent Transportation Systems (ITS); reconstruction of existing facilities; and efficiency improvements to increase the effectiveness of existing transportation investments. The MPO, in cooperation with the KDOT and Wichita Transit has the lead responsibility for carrying out the development of the TIP.

The TIP serves as a short-range implementation program, identifying projects selected by the MPO to be initiated during the upcoming four-year period. Additionally, the TIP is used as a program management tool to gauge progress of the transportation plan for the region. Specifically, improvements contained within the TIP must be consistent with approved transportation plans, primarily the *Long-Range Transportation Plan (LRTP)* and should reflect progress toward the overall transportation goals of the region.

The TIP is also a financially constrained program of projects for which funding is expected to be available over the four (4) year period. The WAMPO TIP includes an out-year to aid in programming and planning. As a result, the TIP reflects the transportation improvements priorities of the region, given the resources available. Projects in the planning area using federal funds and non-federal projects of regional significance must be listed in the TIP. Regionally significant projects are those that have a major impact on the region without using federal funding. They serve regional transportation needs (such as access to and from the area outside of the region, major regional activity centers, major planned developments, or transportation terminals as well as most terminals themselves) and would normally be included in the modeling of a metropolitan area's transportation network, including, as a minimum, all principal arterial highways and all fixed guide way transit facilities that offer a significant alternative to regional highway travel. The WAMPO is specifically responsible for programming funding for the Surface Transportation Program (STP), Bridge (BR), and Congestion Mitigation Air Quality Improvements (CMAQ) categories. WAMPO, in cooperation with KDOT, program funds for National Highway System (NHS), and Interstate Maintenance (IM) projects.

A financial summary in the document lists the total funds expected and programmed from all sources (federal, state, and local). Federal legislation dictates the minimum requirements when developing a TIP (e.g. number of years, update schedule, etc).

1.1 Process Overview

There are a number of processes involved in the development and maintenance of the TIP. These include development of a new TIP, the Amendment and Administrative Modification processes. Procedures that contribute to these main processes include, but are not limited to, Call for Projects, application of Project Selection Criteria, and Project Status Monitoring. This Policy outlines the

guidelines to be used in the development and maintenance of the TIP along with the activities involved in these processes.

SECTION 2.0 GUIDELINES

The following Policies outline requirements of the TIP. Specific policies will be applied as appropriate when creating a New TIP, amending, or applying an administrative modification to an existing TIP.

2.1 Sponsor

The WAMPO requires the project be sponsored by a governmental jurisdiction, to assure that the matching funds will be available as outlined on the project application.

2.2 Federal Share

Once selected for the TIP, project sponsors are, at a maximum, allowed to request 80 percent federal funding for construction and construction engineering costs. Using the 80 percent federal share requires a minimum match of 20 percent by the sponsoring agency/jurisdiction. Increases in the dollar amount will be recorded through the amendment process.

2.3 Fiscal Constraint

Federal regulation requires the TIP be fiscally constrained. In other words, there should not be more projects programmed than can realistically be funded. At times there may be more projects programmed to allow for the potential of a project running into a snag, preventing it from being started on time, but this programmed amount should not exceed the federally authorized amount (approximately 20 percent over obligation amount). It is also understood that with the limitation on funds, when there is programming above the obligation amount, it is possible not all programmed projects will be started in the year listed and may need to be moved to a later year to accommodate fiscal constraint requirements.

In order to best program for project development a reverse sliding scale is applied to the TIP. Table 1 outlines how programming percents will be applied by program year. When there is more than one out-year, there will be no programming above the obligation amount in the out-years.

Table 1 Reverse Sliding Scale

Program Year	Percent above obligation amount
First	20
Second	15
Third	10
Fourth	5
Out-year(+)	0

Awarded funds may be distributed over more than one year. In that case, the requesting agency/jurisdiction must receive approval from Federal, State, and MPO agency representatives. The agency/jurisdiction will carry the requested funding for the out-years. Reimbursement will occur if, and when, federal funds become available in future years.

2.4 Overrun Costs

In order to assure the project is completed, overrun funding is available above the initial award amount, not to exceed the 80 percent share of federal funds through out the life of the project and/or at completion of the project. The intent of tracking the changes in funding during the course of the year is to assure project schedule flexibility.

Overrun costs are deducted from available federal funds. If an overrun is requested and all current year federal funds have been obligated, the overrun amount will be deducted from the next years funding prior to any funds being released for obligation. This may result in a reshuffling of program projects to assure fiscal constraint is maintained. Projects will be shifted into later years until fiscal constraint is reached.

2.5 Project Additions / Changes

A project can be added into the TIP, through a Call for Projects when unanticipated funding becomes available or when doing a New TIP, if approved by the Technical Advisory Committee (TAC). The addition of projects will require the Amendment process. All Amendments require final approval by the Policy Body.

There are two ways existing project information can be changed on an existing TIP project. This includes changes to the year of an existing project or to the federal share amount.

- a. An administrative modification can be done by WAMPO staff if the requested change is less than \$200,000 or 10 percent (whichever is less) of the federal funding amount awarded to a project at the time of the request. This change will be reflected in the next amendment.
- b. An amendment can be made to the awarded project upon request by the sponsoring agency to shift years or change the federal portion maintaining the maximum 80/20 split if the administrative modification guidelines do not apply.

2.6 Call for Projects

The staff of the WAMPO, after approval from the TAC, starts the process of a Call for Projects by posting announcements on the web, in newspaper box ads, and newsletters. An application is available to project sponsors for completion and submission to the WAMPO. The application provides information to staff that will aid in use of the Project Selection Criteria. The Call for Projects is used during the development of a new TIP and can also be used as situations arise requiring programming of unanticipated available funding.

2.7 Project Selection

Project selection is a process by which transportation improvement projects are chosen to be in the TIP. Project selection involves several steps that begin with the Selection Criteria and ends with the final approval by the Policy Body. Section 6 of this document details the project selection process.

2.8 Project Monitoring

In order to maintain an updated TIP while adhering to legislative requirements for a fiscally constrained TIP and to present project status on an annual basis, a quarterly project update is required. Staff will provide an annual project status update for publication on the web and will be distributed to TAC and Policy Body members.

Sponsoring agencies are required to provide project updates quarterly at the Technical Advisory Committee (TAC) meetings. Requested information includes letting status and/or if the project progress will require movement to later year or funding changes. By using a monitoring system projects are also followed for reasonable progress toward letting.

2.9 Public Involvement

The TIP public involvement activities are outlined in detail in the MPO public participation program. All changes to the TIP must follow the process as outlined, are advertised, and made available for public review and comment.

2.10 Obligation of Funds

Federal funds awarded in each federal fiscal year must be obligated by September 15th of that year. An obligation is the Federal government's promise to pay the State for the Federal share of a project's eligible cost. This commitment occurs when KDOT submits a Project Agreement to FHWA for their approval.

Before KDOT can submit a Project Agreement to FHWA for their approval, the following criteria must have been met by the sponsoring agency in coordination with the MPO and KDOT:

- a. The project must be on the MPO's existing, approved Transportation Improvement Program (TIP).
- b. If KDOT is authorizing any work phase other than preliminary engineering; all environmental clearances must be done and the sponsoring agency's City/State agreement shall have been executed.
- c. In the case of Construction Engineering (CE)/Construction authorization, KDOT must also have a ROW Clearance and a Utilities Certificate in place with the KDOT.

Obligated funds are considered used even if no expenses have incurred. Once a project has been obligated it can be "Let" at any point. The term "Let" is a shortened term for "Bid Letting" which means the project has been opened up to contractors for bidding. The date on which a project is "Let" is referred to as the "Let Date."

Section 3.0 **NEW TIP**

The WAMPO TIP is developed every other year through a cooperative process with Federal, State, Local, and Public Transportation provider representatives. According to the Federal legislation, a new TIP is a priority list of transportation projects that is to be carried out within the four (4) year period following its adoption. The following outlines the steps involved in the development of the New TIP.

3.1 Fiscal Constraint

Federal regulation requires that there should not be more projects programmed than can be realistically funded. The amount programmed in the TIP should not exceed the federally authorized amount (approximately 20 percent over obligation amount). It is also understood that with the limitation on funds, when there is programming above the obligation amount, it is possible not all programmed projects will be started in the year listed and may need to be moved to a later year to accommodate fiscal constraint requirements.

3.2 Future Funding Estimates

When beginning a new TIP, the Kansas Department of Transportation (KDOT) provides the WAMPO an estimate of anticipated money available for programming Surface Transportation Program (STP), Congestion Mitigation and Air Quality (CMAQ), and Bridge Replacement and Rehabilitation (BR) funds for the next five federal fiscal years.

The WAMPO will use the KDOT estimates as target obligation amounts to be programmed per the TIP Policy maintaining financial constraint.

3.3 Call for Projects

A Call for Projects is a request for applications for new projects to be funded using STP, CMAQ, and BR funds. Following the receipt of future funding estimates and TAC approval, WAMPO staff will inform KDOT, public transportation providers, and all communities in the region that WAMPO is making a Call for Projects. The WAMPO staff will also announce a public meeting and provide the above entities with an application for projects at this time.

3.4 Public Meeting

A public meeting will be held to announce the beginning of the application period. WAMPO staff will explain the process of developing a new Transportation Improvement Program and answer questions at this time. The public will have the opportunity to voice opinions during the comment and review period and at the public hearing held prior to action on the TIP.

3.5 Submittal of Applications

Upon completion of applications, applicants must submit them to WAMPO staff for processing.

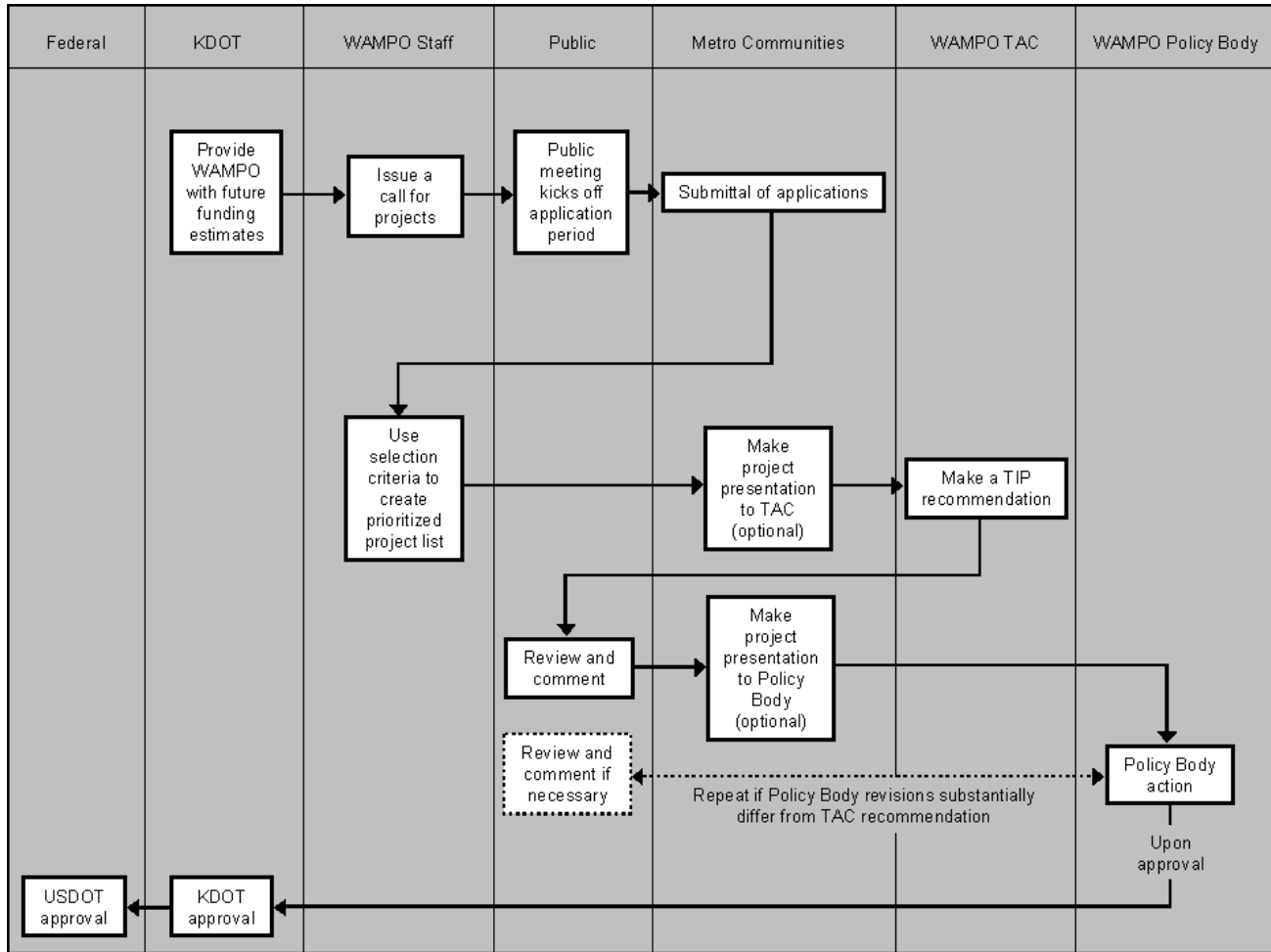
3.6 Project Selection

The applications will go through a series of steps ending with the final project selection by the Policy Body. For a detailed list of the project selection process, refer to Section 6.0 of this document.

3.7 Request for KDOT and USDOT Approval

If the Policy Body votes to approve a TIP, the recommended TIP will be sent to KDOT for approval. Upon KDOT approval, KDOT will forward the TIP to the US Department of Transportation for approval as an amendment to the State Transportation Improvement Program. If there are substantial changes recommended by the Policy Body the TIP may require additional public involvement.

3.8 Figure 1: New TIP Process Diagram



SECTION 4.0

AMENDMENT

A TIP amendment is the process by which project sponsors make significant changes to their projects.

4.1 Conditions for Amendment

The TIP must be amended when one of the following conditions exist:

- Projects do not have a “Complete Office Check” from the Kansas Department of Transportation (KDOT).
- The design concept or scope of the project has changed.
- Change in the federal fiscal year of the project obligation date.
- Change in the federal funding category of the project.
- Change in the federal fund amount maintaining a maximum split of 80/20%.
- A project is new to the federal funding or the TIP.
- A project needs to be deleted from the TIP.
- A project’s funding increases by either \$200,000 or 10 percent of the total project cost.

4.2 Fiscal Constraint

Federal regulation requires that there should not be more projects programmed than can be realistically funded. The amount programmed in the TIP should not exceed the federally authorized amount (approximately 20 percent over obligation amount). It is also understood that with the limitation on funds, when there is programming above the obligation amount, it is possible not all programmed projects will be started in the year listed and may need to be moved to a later year to accommodate fiscal constraint requirements.

4.3 Amendment Schedule

At a minimum, the TIP will be amended the last quarter of each fiscal year. It may also be amended quarterly if necessary.

4.4 Application Process

4.4.1 Request for Amendment

The sponsoring agency must notify WAMPO staff of the need to amend the TIP. If the applicant is requesting additional money, WAMPO staff will provide them with an application. If other changes are required, WAMPO staff will inform them of what information they need to provide.

4.4.2 TAC Review and Recommendation

Upon receipt of required materials, WAMPO staff will present the amendment request to the Technical Advisory Committee (TAC). The TAC will consider the amendment and make a recommendation to the Policy Body.

4.4.3 Public Comment/Review

The TAC recommendation is made available to the public for public review/comment as outlined in the WAMPO public participation program. The Policy Body also holds a public hearing on the TAC recommendation prior to action on the amendment.

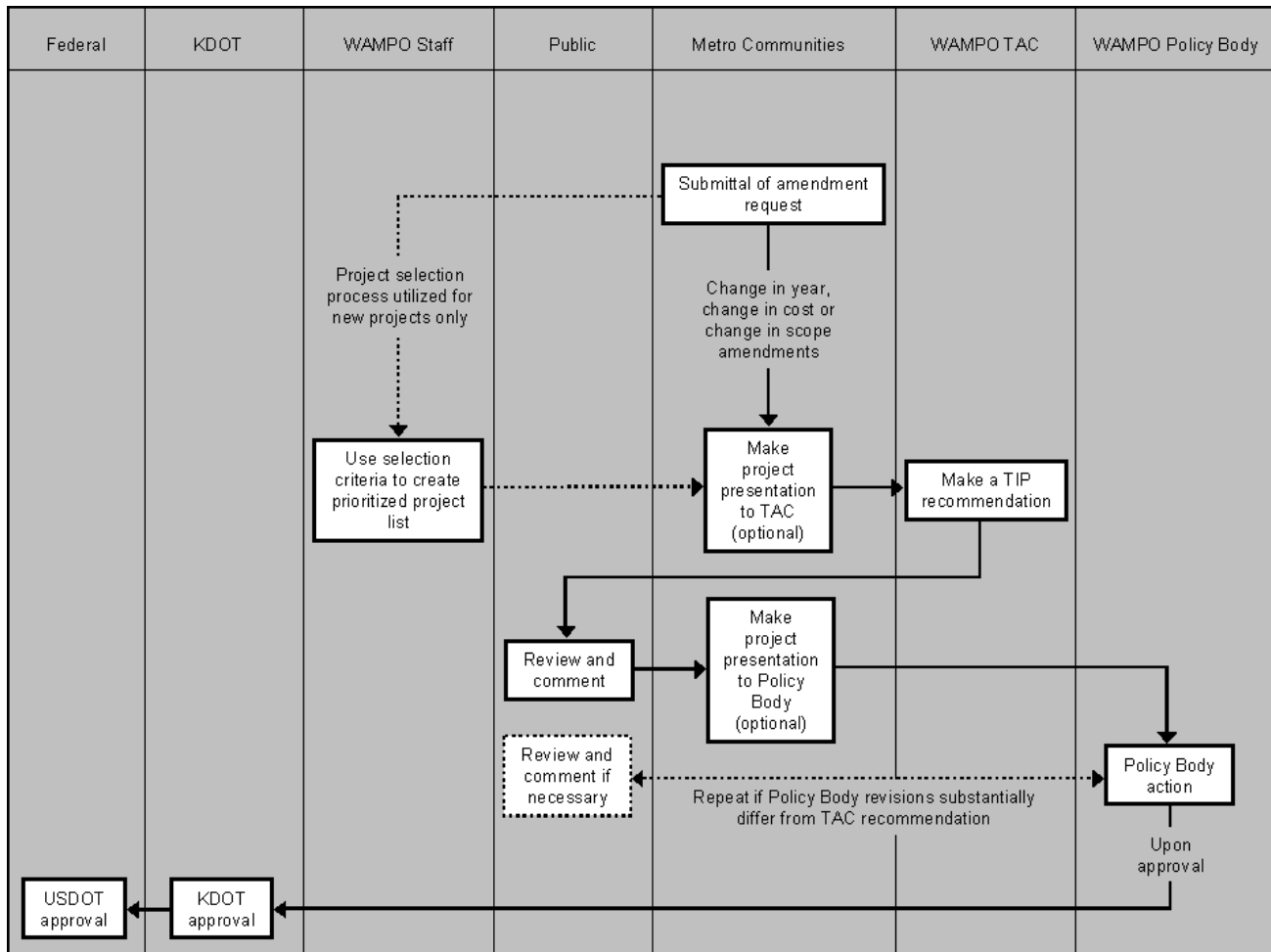
4.4.4 Policy Body Adoption

If the Policy Body agrees with the recommendation of the TAC, there will be no need for additional public involvement. If the Policy Body decision differs substantially from the recommendation of the TAC, the decision may require a second Public Comment/Review period and Public Hearing before adoption.

4.5 Request for KDOT and USDOT approval

A copy of the amended TIP will be sent to KDOT for approval. Upon KDOT approval, KDOT will forward the TIP to the US Department of Transportation for approval.

4.6 Figure 2: Amendment Process Diagram



SECTION 5.0 ADMINISTRATIVE MODIFICATION

A TIP modification is the process by which project sponsors are allowed to make minor changes to their projects.

5.1 Purpose

Modification of the TIP is to aid the project sponsors, in letting the projects or to be eligible for additional funding without a long amendment process when requested changes comply with the requirements outlined in Section 5.2. Maintaining a record of modifications through the amendment process will provide updated financial information impacting the programming of projects.

5.2 Modification Eligibility

The staff may administratively modify a project in the TIP only if all of the following requirements are met:

- The project should have a “Complete Office Check” from the Kansas Department of Transportation.
- The design concept and scope of the project should not have changed.
- Requested changes are less than \$200,000 or 10 percent of the federal funding amount awarded to a project (whichever is lowest).

5.3 Modification Schedule

Modifications will be made to the TIP as needed. Modifications will be recorded through the amendment process.

5.4 Modification Process

5.4.1 Request for Modification

All project sponsors can make a request for modification to the current TIP. The applicant must notify WAMPO staff of the desired modification. WAMPO staff will then inform the applicant of all the information required of the applicant.

5.4.2 WAMPO Staff Review

Upon receipt of required materials, WAMPO staff will review the request for modification to ensure the request qualifies for modification and does not require the amendment process.

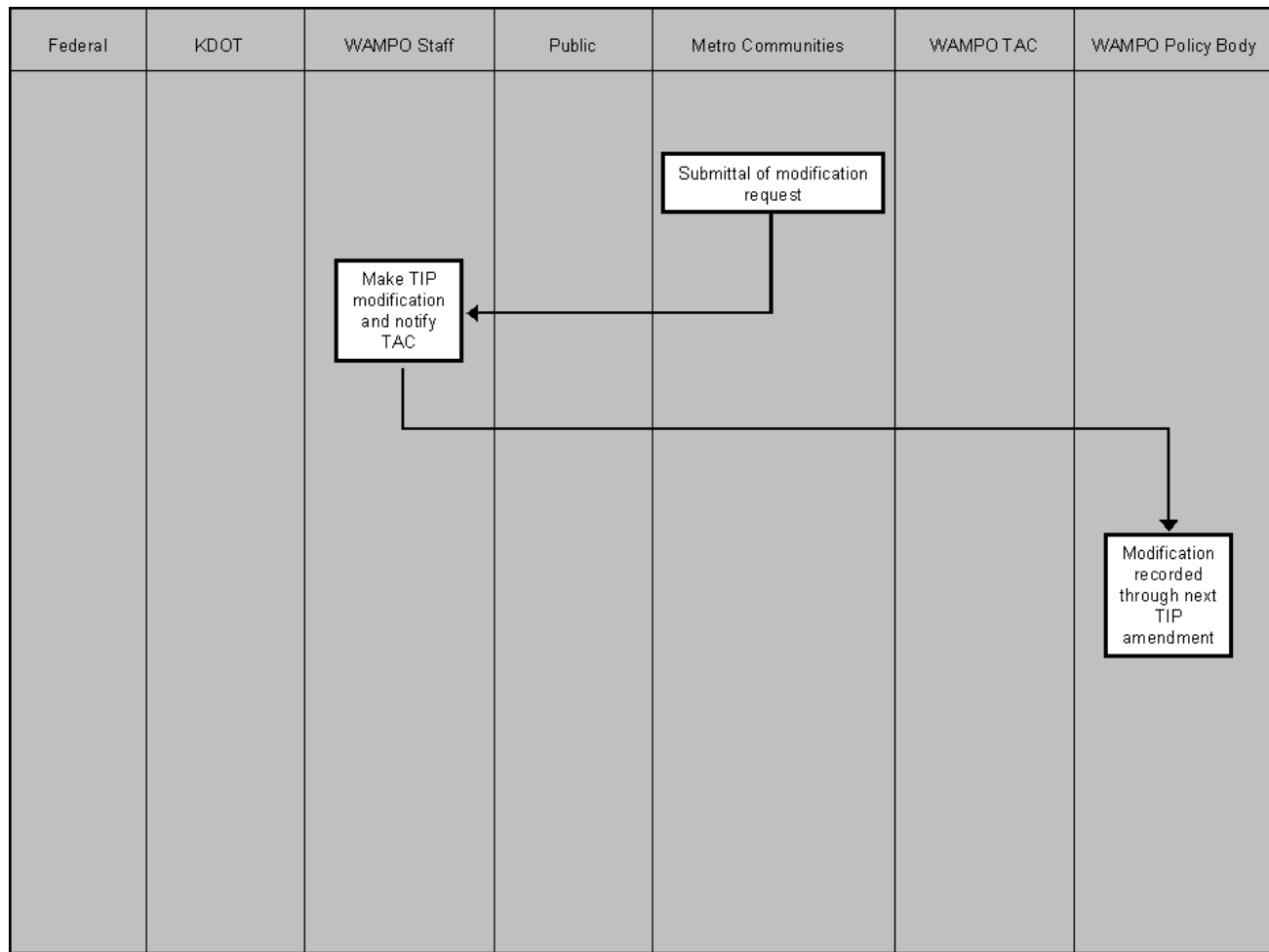
5.4.3 Notify the TAC

WAMPO staff will notify the Technical Advisory Committee about all modifications to the TIP document.

5.4.4 Record Changes in the TIP

All modifications will be added to the TIP at the next TIP amendment.

5.5 Figure 3: Administrative Modification Process Diagram



SECTION 6.0 PROJECT SELECTION

Project Selection is the process project sponsors go through in an attempt to secure Federal funds administered through the WAMPO. The applications will go through a series of steps prior to the final project selection by the Policy Body. The initial step is a call for projects which will be based on the Project Selection Criteria available in Appendix B.

6.1 Project Selection Criteria

WAMPO staff will rank projects based on the Project Selection Criteria (PSC) appropriate to the project type. The PSC is a set of equations and weighted numerical values that provides an objective, numerical analysis of a project to provide a priority ranking. Appendix B outlines the various PSC used in conjunction with project presentation in programming.

6.2 Provide the List of Projects to the TAC, Public, and Applicants

The prioritized list of projects will be presented to the TAC and made available to the public and applicants prior to the TAC meeting where the projects will be discussed.

6.3 Applicant Presentations to the TAC

Applicants have the option of making a presentation to the TAC in support of their projects. If applicants want to do this, they must contact the WAMPO staff prior to the TAC meeting.

6.4 TAC Recommendation

The TAC will review the prioritized list, hear presentations, and recommend a list of programmed projects for the TIP to the Policy Body.

6.3 Public Review and Comment

The TAC recommended TIP will be presented to the public, providing an opportunity to review and offer opinions according to the WAMPO's public participation program.

6.4 Policy Body Public Hearing

Public comments and the TIP recommended by the TAC will be presented to the Policy Body at this hearing. There will be an opportunity for the public and project sponsors to voice opinions and make presentations to the Policy Body at this time. The Policy Body will review/make changes and take action on the TIP.

6.5 Public Review and Comment (Contingent on the Policy Body decision)

If the Policy Body's revisions of the TIP substantially change the TIP recommended by the TAC, a second public review/comment session will be required per the public involvement program and legislative guidelines.

Appendix A: Glossary

Authorization – Basic substantive legislation or that which empowers an agency to implement a particular program and also establishes an upper limit on the amount of funds that can be appropriated for that program

Bridge Replacement and Rehabilitation (BR) – Federal-aid funding program that funds the replacement and rehabilitation of bridges.

Call for Projects – A call for projects is the process by which the WAMPO staff informs the communities in the WAMPO. The TAC must approve all calls for projects.

Complete Office Check by KDOT – Complete Office Check is a phase in KDOT's project development schedule. A typical project would be seven and a half months from letting once it is in this phase. Projects in this phase have all details completed and have complete project plans as per KDOT design manual and standard specifications. A project in this phase would generally have a good construction cost estimate.

Congestion Mitigation and Air Quality (CMAQ) – A categorical funding program that directs funding to projects that contribute to meeting national air quality standards in non-attainment areas for ozone and carbon monoxide.

Fiscal Constraint – A requirement, originally of ISTEA and now emphasized in SAFETEA-LU, that all plans balance expenditures to reasonably expected sources of funding over the period of the TIP and Long Range Transportation Plan.

Long Range Transportation Plan (LRTP) – Federally mandated twenty-year comprehensive transportation plan for an MPO region.

Metropolitan Planning Organization (MPO) – Regional planning entity responsible for transportation planning and approval of federal transportation funding for the region.

Obligation – The Federal government's legal commitment (promise) to pay or reimburse the States or other entities for the Federal share of a project's eligible costs.

Obligation Authority – The total amount of funds that may be obligated in a year.

Obligation Limitation – A restriction, or "ceiling" on the amount of Federal assistance that may be promised (obligated) during a specified time period.

Policy Body (WAMPO) – The governing body of the WAMPO. The Policy Body is an independent entity, which is the final decision maker on all MPO programs and policies.

Project Selection Criteria – A criteria adopted by the Policy Body that guides the quantitative considerations for ranking project priorities.

Project Sponsor – The government entity that proposes and supports individual transportation projects.

Public Participation – An integral part of a planning or major decision-making process. It provides opportunities for the public to be involved with the MPO in an exchange of data and ideas. Citizen participation offers an open two way process for information sharing.

Surface Transportation Program (STP) – Federal-aid highway funding program that funds a broad range of surface transportation capital needs, including many roads, transit, sea and airport access, vanpool, bicycle, and pedestrian facilities.

Technical Advisory Committee (TAC) – A standing committee of most metropolitan planning organizations (MPOs); function is to provide advice on plans or actions of the MPO from planners, engineers and other staff members.

Transportation Improvement Program (TIP) – Developed every two years, the TIP is a priority list of transportation projects developed by the WAMPO that is to be carried out within the four (4) year period following its adoption; must include documentation of federal and state funding sources for each project and be consistent with adopted MPO long range transportation plans.

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